

16569 U.S. PTO
021104

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. YOR919990064US2 (8728-258C)
First Inventor Louis R. Degenaro
Title SYSTEM AND METHOD FOR MANAGING ...
Express Mail Label No. EV 413371010US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 53]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 2]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09 / 298,046
Prior application information: Examiner Choi, Woo H. Group Art Unit: 2186

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

Name F. CHAU & ASSOCIATES, LLC
Address 1900 Hempstead Turnpike, Suite 501
City East Meadow State New York Zip Code 11554
Country U.S.A Telephone (516) 357-0091 Fax (516) 357-0092

Name (Print/Type) Frank V. DeRosa Registration No. (Attorney/Agent) 43,584
Signature [Signature] Date 2/11/04

19270 U.S. PTO
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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 1,274.00

Complete if Known

Application Number	
Filing Date	February 11, 2004
First Named Inventor	Louis R. Degenaro
Examiner Name	
Art Unit	
Attorney Docket No.	YOR919990064US2 (8728-258CON)

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number
50-0510Deposit Account Name
IBM - YORKTOWN HEIGHTS

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	770.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 770.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
48	-20** = 28	18	504
3	-3** = 0	86	0
Multiple Dependent		290	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 504.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Frank V. DeRosa	Registration No. (Attorney/Agent)	43,584	Telephone	516-357-0091
Signature		Date	2/11/04		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PATENT

Atty. Docket No. YOR919990064US2 (8728-258CON)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

APPLICATION FEE TRANSMITTAL

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Louis R. Degenaro, Arun K. Iyengar,
Isabelle M. Rouvellou

For: SYSTEM AND METHOD FOR MANAGING CACHABLE ENTITIES

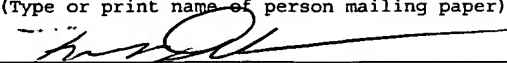
This application is a:

- ☐ New Application
- ☒ Continuation
- ☐ Continuation-In-Part (CIP)
- ☐ Divisional

of co-pending U.S. application Serial No. 09/298,046
filed on April 22, 1999.

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this Application transmittal and the documents referred to as enclosed are being deposited with the United States Postal Service on this date February 11, 2004 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV413371010US addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

Frank V. DeRosa
(Type or print name of person mailing paper)

(Signature of person mailing paper)

Enclosed are:

- [X] 39 page(s) of specification
- [X] 1 page(s) of Abstract
- [X] 13 page(s) of claims
- [X] 6 sheets of drawings [X] formal [] informal
- [X] 2 page(s) of Declaration and Power of Attorney
(copy as filed in co-pending application no.
09/298,046, filed April 22, 1999).

[] An Assignment of the invention to:

[] This application claims the benefit under 35 U.S.C.
§119(e) of U.S. Provisional Application(s) No(s):

APPLICATION NO(S):

FILING DATE

[] Priority under Title 35 United States Code, § 119 is
claimed from:

Country

Appln. No.

Filed

[] Certified copy of which:

[] is enclosed

[] will follow.

Additional papers enclosed:

☒ Preliminary Amendment

The fees to be charged are to be based on the number of claims remaining as a result of the attached Preliminary Amendment.

☐ Information Disclosure Statement

☐ Form PTO-1449

☐ Other

Fee Calculation (37 C.F.R. §1.16)

For	Number Filed	Number Extra	Rate	Basic Fee
Total				\$ 770.00
Claims*	48 - 20 = 28		x \$ 18.00	\$ 504.00
Independent				
Claims	3 - 3 = 0		x \$ 86.00	\$.00
Multiple	<input type="checkbox"/> yes	Add'l. Fee	\$290.00	\$
Dependent				
Claims	<input checked="" type="checkbox"/> no	Add'l. Fee	None	= \$
TOTAL				<u>\$1,274.00</u>

☐ Applicant Claims Small Entity Status Under 37 C.F.R. § 1.27. Reduced fees under 37 C.F.R. § 1.9(f) (50% of total) paid herewith \$.00.

☐ A check in the amount of \$.00 is enclosed for recording the attached Assignment.

☐ A check in the amount of \$.00 to cover the filing fee is attached.

☒ Charge fee to Deposit Account No. 50-0510/IBM (Yorktown Heights) **TWO (2) COPIES OF THIS SHEET ARE ENCLOSED.**

* Includes all independent and single dependent claims and all claims referred to in multiple claims. See 37 C.F.R. § 1.75(c).

[X] Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. § 1.16 and/or 1.17 at any time during the pendency of this application, or credit any overpayment of such fee(s) to Deposit Account No. 50-0510/IBM. Also, in the event any extensions of time for responding are required for the pending application(s), please treat this paper as a petition to extend the time as required and charge Deposit Account No. 50-0510/IBM therefor. **TWO (2) COPIES OF THIS SHEET ARE ENCLOSED**

Relate Back - 35 U.S.C. § 120

[] Amend the specification by inserting after the Title the sentence:

--This is a [X] continuation [] continuation-in-part [] divisional of copending application Serial No. _____ filed on _____, the disclosure of which in its entirety is incorporated-by-reference herein.--

[X] An Assignment of the invention to:

International Business Machines Corporation
(recorded on April 22, 1999 at Reel/Frame: 9914/0233
in co-pending application no. 09/298,046, filed
April 22, 1999).

Date: _____

2/11/04



SIGNATURE OF ATTORNEY
Frank V. DeRosa
Reg. No. 43,584

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